

copy

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/026,029
Filing Date	12/18/2001
First Named Inventor	Charles T. Rettner et al.
Group Art Unit	2651
Examiner Name	Glenda P. Rodriguez
Attorney Docket Number	ARC920010114US1

Total Number of Pages in This Submission

6

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Request for Certificate of Correction
---	---	--

Remarks

Certificate
MAR 17 2006
of Correction

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

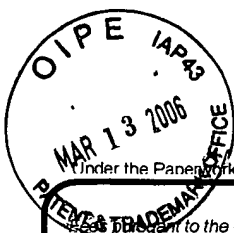
Firm or Individual name	Daniel E. Johnson	Reg. No. # 37,033
Signature		
Date	02/24/2006	

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date:			
Typed or printed name		Cheryl G. Ruby	
Signature		Date	2/24/06

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

MAR 17 2006



Effective on 12/08/2004.

Subject to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL

For FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known

Application Number	10/026,029
Filing Date	December 18, 2001
First Named Inventor	Charles T. Rettner et al.
Examiner Name	Glenda P. Rodriguez
Art Unit	2651
Attorney Docket No.	ARC920010114US1

METHOD OF PAYMENT (check all that apply)☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____☒ Deposit Account Deposit Account Number: 09-0441 Deposit Account Name: International Business Machines

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee☒ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☒ Credit any overpayments**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**FEE CALCULATION****1. BASIC FILING, SEARCH, AND EXAMINATION FEES**

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	Small Entity Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 20 or HP =	x	50.00	=

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 3 or HP =	x	200.00	=

HP = highest number of independent claims paid for, if greater than 3.

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): _____

Fees Paid (\$)**SUBMITTED BY**

Signature	Daniel E. Johnson	Registration No. (Attorney/Agent)	37,033	Telephone	408-927-3367
Name (Print/Type)	Daniel E. Johnson			Date	February 24, 2006

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

MAR 17 2006



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent of: : February 24, 2006
Charles T. Rettner et al. : Group Art Unit: 2651
Patent No.: 6,982,844 *B2* : Examiner: Glenda P. Rodriguez
Issue Date: January 3, 2006 : San Jose, California

Title: **OPTICAL APERTURE FOR DATA RECORDING HAVING
TRANSMISSION ENHANCED BY SURFACE PLASMON RESONANCE**

REQUEST FOR CERTIFICATE OF CORRECTION

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Applicants respectfully request a Certificate of Correction for the above-referenced US Patent as indicated on the enclosed two sheets of PTO/SB/44.

The first 13 corrections correspond to certain amendments made by Applicants in their Preliminary Amendment of March 15, 2002, which were not carried over during the typesetting process.

The next 4 corrections correspond to typographical errors made when typesetting the claims, which is evident from Applicants' Amendment of June 7, 2005.

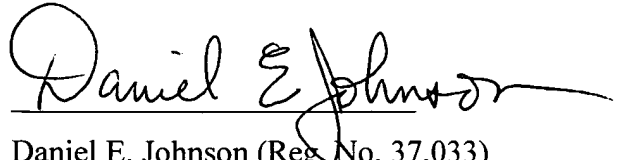
The last correction concerns an entire paragraph that was inadvertently not included during the typesetting process, which is evident from Applicants' Preliminary Amendment of March 15, 2002.

MAR 17 2006

Since none of these errors is the fault of Applicants, no fee is due.

Respectfully submitted,

Charles T. Rettner et al.

A handwritten signature in black ink, reading "Daniel E. Johnson". The signature is written in a cursive style with a large initial "D" and a long horizontal flourish extending to the right.

Daniel E. Johnson (Reg. No. 37,033)
Agent for Applicants
Phone (408) 927-3367

ARC920010114US1.certcorr1.doc

MAR 17 2006

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

Page 1 of 2

PATENT NO. : 6,982,844 *B2*
DATED : January 3, 2006
INVENTOR(S) : Charles T. Rettner, Barry C. Stipe

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In column 2, lines 9-10, replace "a magnetic grain" with -- an optical spot --
In column 5, line 19, replace "separation" with -- spacing --
In column 9, line 36, replace "region of the" with -- region's --
In column 9, line 53, after "208" insert -- and --
In column 10, line 64, replace "step" with -- set of steps --
In column 10, line 67, replace "step" with -- set of steps --
In column 12, line 6, replace "holes" with -- slits --
In column 12, line 7, replace "holes" with -- slits --
In column 12, line 22, delete -- a --
In column 13, line 1, replace "nanometers" with -- nanometer --
In column 13, lines 3-4, replace "nanometers" with -- nanometer --
In column 13, line 5, replace "0.1" with -- 0.01 --
In column 13, line 10, before "magnetic" insert -- a --

In column 13, line 35, replace "tat" with -- that --
In column 15, line 14, replace "end" with -- and --
In column 16, line 17, replace "en" with -- an --
In column 18, line 5, replace "feting" with -- facing --

MAILING ADDRESS OF SENDER:

IBM Corporation, Daniel E. Johnson, Dept. C4TA/J2B
650 Harry Road
San Jose, CA 95120-60996.

PATENT NO. 6,982,844

No. of additional copies



This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

MAR 17 2006

UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

Page 2 of 2

PATENT NO. : 6,982,844 *B2*
DATED : January 3, 2006
INVENTOR(S) : Charles T. Rettner, Barry C. Stipe

It is certified that error appears in the above-identified patent and that said Letters Patent is hereby corrected as shown below:

In column 3, after line 2, add the following paragraph:

One embodiment of the invention is an apparatus for facilitating the recording of data. The apparatus includes an optical source and a metallic structure that receives optical radiation from the optical source. The metallic structure includes an emission region from which optical output is emitted, as well as an array of features that couple the radiation to at least one surface plasmon mode of the structure to increase the emitted optical output from the emission region beyond what the emitted optical output from the emission region would be in the absence of the features. The emitted optical output includes a near-field portion that extends from the emission region out to a distance less than the average wavelength of the emitted optical output (e.g., the intensity weighted average wavelength). The apparatus further includes at least one element secured to the metallic structure, with this element generating magnetic fields for writing data in a data recording medium located within the near-field portion. A preferred apparatus further includes a platform (e.g., slider having an air bearing surface) to which the structure and the (at least one) element are secured, in which the platform is configured to be moved relative to a data recording medium while the separation between the emission region and a surface of the data recording medium is kept to less than the average wavelength. The emission region may be advantageously located at an output face of the laser and may include dielectric material. The optical source may include an optical waveguide coupled to a source of optical radiation. Optical radiation from the optical source preferably has a full width half maximum (FWHM) of less than about 0.1 times the average wavelength of the optical radiation. The optical radiation preferably also includes a frequency that matches a resonant frequency of the structure. The spacing between the features in the metal structure is chosen to enhance the optical output from the emission region from at least one predetermined wavelength, and in one embodiment, the structure may include two features. The (at least one) element that generates magnetic fields may include at least one poling piece for applying a magnetic field in a portion of a storage medium, as the emitted optical output from the emission region heats this portion.

MAILING ADDRESS OF SENDER:

IBM Corporation, Daniel E. Johnson, Dept. C4TA/J2B
650 Harry Road
San Jose, CA 95120-60996.

PATENT NO. 6,982,844

No. of additional copies



This collection of information is required by 37 CFR 1.322, 1.323, and 1.324. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 1.0 hour to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Attention Certificate of Corrections Branch, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

MAR 17 2006